

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

GEISSMANN *et al.*

Appl. No. 09/832,922

Filed: April 12, 2001

For: **Compositions and Methods for Use
in Modulating Immune System
Function**

Confirmation No.: 8471

Art Unit: 1644

Examiner: Huynh, P.N.

Atty. Docket: 1383.0260001

02/12/2001
1383.0260001

Information Disclosure Statement

Commissioner for Patents
Washington, D.C. 20231

*Via Hand Carry to Examiner Phuong N. Huynh
Art Unit 1644*

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. A copy of each of these documents is provided.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

In accordance with 37 C.F.R. § 1.98(a)(3), Applicants' undersigned representative submits the following concise statement of the relevance of the non-English language documents, Doc. Nos. AN1, AO2, AP3, AL4, AL9, and AM9, cited on the Form PTO-1449:

Doc. No. **AN1**, WIPO Publication No. WO 99/05292, is in the Japanese language. An unverified abstract of this publication in the English language is found on the face page of the document, and an additional unverified abstract of the publication in the English language (obtained from Derwent WPI) is attached as Doc. No. **AT73**.

Doc. No. **AO2**, WIPO Publication No. WO 98/29183, is in the Russian language. An unverified abstract of this publication in the English language is found on the face page of the document, and an additional unverified abstract of the publication in the English language (obtained from Derwent WPI) is attached as Doc. No. **AR74**.

Doc. No. **AP3**, EPO Publication No. EP 0 722 928 B1, is in the French language. An unverified abstract of this publication in the English language (obtained from Derwent WPI) is attached as Doc. No. **AS74**.

Doc. No. **AL4**, WIPO Publication No. WO 97/26237, is in the French language. An unverified abstract of this publication in the English language is found on the face page of the document, and an additional unverified abstract of the publication in the English language (obtained from Derwent WPI) is attached as Doc. No. **AT74**.

Doc. No. **AL9**, EPO Publication No. EP 0 253 302 A2, is in the German language. An unverified abstract of this publication in the English language (obtained from Derwent WPI) is attached as Doc. No. **AR75**.

Doc. No. **AM9**, EPO Publication No. EP 0 210 929 A1, is in the French language. An unverified abstract of this publication in the English language (obtained from Derwent WPI) is attached as Doc. No. **AS75**.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that had been cited or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120. 1138 OG 37, 38 (May 19, 1992).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No statement or fee is required.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in dark ink, appearing to read "Brian J. Del Buono", with a stylized flourish at the end.

Brian J. Del Buono
Attorney for Applicants
Registration No. 42,473

Date: May 22, 2002

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(202) 371-2600

FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. 1383.0260001	APPLICATION NO. 09/832,922
	APPLICANT Geissmann et al.	
	FILING DATE April 12, 2001	GROUP 1644

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1	6,184,256	02/06/2001	Basset et al.	514	725	04/24/1998
	AB1	6,130,230	10/10/2000	Chambon et al.	514	311	08/28/1997
	AC1	5,861,274	01/19/1999	Evans et al.	435	69.1	06/07/1995
	AD1	5,849,923	12/15/1998	Starrett, Jr. et al.	546	340	06/04/1996
	AE1	5,780,676	07/14/1998	Boehm et al.	562	490	06/07/1995
	AF1	5,747,661	05/05/1998	Evans et al.	536	24.1	01/13/1995
	AG1	5,702,914	12/30/1997	Evans et al.	435	29	12/30/1997
	AH1	5,675,033	10/07/1997	Vuligonda et al.	560	100	06/06/1995
	AI1	5,648,514	07/15/1997	Johnson et al.	560	102	12/29/1994
	AJ1	5,624,957	04/29/1997	Swann et al.	514	535	06/06/1995
	AK1	5,618,839	04/08/1997	Starrett, Jr. et al.	514	513	05/02/1996

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1	WO 00/64260	11/02/2000	WIPO			Yes No
	AM1	EP O 903 149 A1	03/24/1999	Europe			Yes No
	AN1	WO 99/05292	02/04/1999	WIPO			Yes X No
	AO1	WO 98/49555	11/05/1998	WIPO			Yes No
	AP1	WO 98/48825	11/05/1998	WIPO			Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>1</u>	Abrams, J.S., et al., "New Chemotherapeutic Agents for Breast Cancer," <i>Supp. Cancer</i> 74:1164-1176, J.B. Lippincott Company (1994).	
AS	<u>1</u>	Alcalay, M., et al., "Translocation breakpoint of acute promyelocytic leukemia lies within the retinoic acid receptor α locus," <i>Proc. Natl. Acad. Sci. USA</i> 88:1977-1981, National Academy of Sciences (1991).	
AT	<u>1</u>	Allenby, G., et al., "Binding of 9-cis-Retinoic Acid and All-trans-Retinoic Acid to Retinoic Acid Receptors α , β , and γ ," <i>J. Biol. Chem.</i> 269:16689-16695, The American Society for Biochemistry and Molecular Biology, Inc. (1994).	

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA2	5,599,967	02/04/1997	Vuligonda et al.	560	48	12/29/1994
	AB2	5,559,248	09/24/1996	Starrett, Jr. et al.	549	79	04/05/1995
	AC2	5,552,271	09/03/1996	Pfahl et al.	435	6	11/25/1992
	AD2	5,466,861	11/14/1995	Dawson et al.	560	100	11/25/1992
	AE2	5,399,586	03/21/1995	Davies et al.	514	448	03/11/1993
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL2	WO 98/48055	10/29/1998	WIPO			Yes No
	AM2	WO 98/47861	10/29/1998	WIPO			Yes No
	AN2	WO 98/46228	10/22/1998	WIPO			Yes No
	AO2	WO 98/29183	07/09/1998	WIPO			Yes X No
	AP2	WO 98/29120	07/09/1998	WIPO			Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	2	Allenby, G., et al., "Retinoic acid receptors and retinoid X receptors: Interactions with endogenous retinoic acids," <i>Proc. Natl. Acad. Sci. USA</i> 90:30-34, National Academy of Sciences (1993).
	AS	2	Allenby, G., "The Ying-yang of RAR and AP-1: cancer treatment without overt toxicity," <i>Human and Exper. Toxicol.</i> 14:226-230, Macmillan Press (1995).
	AT	2	Anglard, P., et al., "Structure and Promoter Characterizaation of the Human Stromelysin-3 Gene," <i>J. Biol. Chem.</i> 270:20337-20344, The American Society for Biochemistry and Molecular Biology, Inc. (1995).

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL3	WO 98/29113	07/09/1998	WIPO			Yes No
	AM3	WC 98/08546	03/05/1998	WIPO			Yes No
	AN3	WO 97/35195	09/25/1997	WIPO			Yes No
	AO3	WO 97/29182	08/14/1997	WIPO			Yes No
	AP3	EP 0 722 928 B1	08/06/1997	Europe			Yes X No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>3</u>	Apfel, C.M., et al., "Enhancement of HL-60 Differentiation by a New Class of Retinoids with Selective Activity on Retinoid X Receptor," <i>J. Biol. Chem.</i> 270:30765-30772, The American Society for Biochemistry and Molecular Biology, Inc. (1995).	
AS	<u>3</u>	Apfel, C., et al., "A retinoic acid receptor α antagonist selectively counteracts retinoic acid effects," <i>Proc. Natl. Acad. Sci. USA</i> 89:7129-7133, National Academy of Sciences (1992).	
AT	<u>3</u>	Aström, A., et al., "Retinoic Acid and Synthetic Analogs Differentially Activate Retinoic Acid Receptor Dependent Transcription," <i>Biochem. Biophys. Res. Comm.</i> 173:339-345, Academic Press, Inc. (1990).	

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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL4	WO 97/26237	07/24/1997	WIPO			Yes X No
	AM4	WO 97/24447	07/10/1997	WIPO			Yes No
	AN4	WO 97/16422	05/09/1997	WIPO			Yes No
	AO4	WO 97/14426	04/24/1997	WIPO			Yes No
	AP4	WO 97/09418	03/13/1997	WIPO			Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>4</u>	Banchereau, J. and Steinman, R.M., "Dendritic cells and the control of immunity," <i>Nature</i> 392:245-252, Macmillan Publishers Ltd. (1998).
AS	<u>4</u>	Basset, P., et al., "A novel metalloproteinase gene specifically expressed in stromal cells of breast carcinomas," <i>Nature</i> 348:699-704, Macmillan Publishers Ltd. (1990).
AT	<u>4</u>	Beard, R.L., et al., "Synthesis and Biological Activity of 1,2,3,4-Tetrahydroquinoline and 3,4-(1H)-Dihydroquinolin-2-one Analogs of Retinoic Acid," <i>Bioorg. Med. Chem. Lett.</i> 7:2373-2378, Elsevier Science Ltd. (1997).

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	AL5	2,230,637	03/06/1997	Canada			Yes No
	AM5	EP 0 502 979 B1	01/22/1997	Europe			Yes No
	AN5	WO 96/40669	12/19/1996	WIPO			Yes No
	AO5	EP 0 747 347 A1	12/11/1996	Europe			Yes No
	AP5	EP 0 479 916 B1	11/20/1996	Europe			Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>5</u>	Bedford, P.A. and Knight, S.C., "The effect of retinoids on dendritic cell function," <i>Clin. Exp. Immunol.</i> 75:481-486, Blackwell Scientific Publications (1989).	
AS	<u>5</u>	Benbrook, D.M, et al., "Biologically Active Heteroarotinoids Exhibiting Anticancer Activity and Decreased Toxicity," <i>J. Med. Chem.</i> 40:3567-3583, American Chemical Society (1997).	
AT	<u>5</u>	Bérard, J., et al., "Lung tumors in mice expressing an antisense RAR β 2 transgene," <i>FASEB J.</i> 10:1091-1097, Federation of American Societies for Experimental Biology (1996).	

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL6	2,218,955	10/31/1996	Canada			Yes No
	AM6	WO 96/33716	10/31/1996	WIPO			Yes No
	AN6	EP 0 728 742 A2	08/28/1996	Europe			Yes No
	AO6	2,210,248	07/18/1996	Canada			Yes No
	AP6	WO 96/11686	04/25/1996	WIPO			Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>6</u>	Bernard, B.A., et al., "Identification of Synthetic Retinoids with Selectivity for Human Nuclear Retinoic Acid Receptor γ ," <i>Biochem. Biophys. Res. Comm.</i> 186:977-983, Academic Press, Inc. (1992).
	AS	<u>6</u>	Berrodin, T.J., et al., "Heterodimerization among Thyroid Hormone Receptor, Retinoic Acid Receptor, Retinoid X Receptor, Chicken Ovalbumin Upstream Promoter Transcription Factor, and an Endogenous Liver Protein," <i>Mol. Endocrinol.</i> 6:1468-1478, The Endocrine Society (1992).
	AT	<u>6</u>	Boehm, M.F., et al., "Design and Synthesis of Potent Retinoid X Receptor Selective Ligands That Induce Apoptosis in Leukemia Cells," <i>J. Med. Chem.</i> 38:3146-3155, American Chemical Society (1995).

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL7	WC 96/06070	02/29/1996	WIPO			Yes No
	AM7	WC 96/01317	01/18/1996	WIPO			Yes No
	AN7	WC 95/18380	07/06/1995	WIPO			Yes No
	AO7	EP 0 661 259 A1	07/05/1995	Europe			Yes No
	AP7	EP 0 325 849 B1	07/05/1995	Europe			Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>7</u>	Bollag, W., et al., "Cancer Combination Chemotherapy with Retinoids: Experimental Rationale," <i>Leukemia</i> 8:1453-1457, Macmillan Press Ltd. (1994).
	AS	<u>7</u>	Bollag W. and Holdener, E.E., "Retinoids in cancer prevention and therapy," <i>Annals of Oncol.</i> 3:513-526, Kluwer Academic Publishers (1992).
	AT	<u>7</u>	Bollag, W. and Peck R., "Modulation of Growth and Differentiation by Combined Retinoids and Cytokines in Cancer," <i>Basic and Clin. Oncol.</i> 4:89-108, Marcel Dekker, Inc. (1993).

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL8	WO 95/04036	02/09/1995	WIPO			Yes No
	AM8	WO 94/26100	11/24/1994	WIPO			Yes No
	AN8	AU B 58248/90	05/08/1993	Australia			Yes No
	AO8	2,100,582	09/19/1992	Canada			Yes No
	AP8	2,057,049	11/27/1990	Canada			Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>8</u>	Bollag, W., "The retinoid revolution," FASEB J. 10:938-939, Federation of American Societies for Experimental Biology (1996).
	AS	<u>8</u>	Bonhomme, L., et al., "Topical treatment of epidemic Kaposi's sarcoma with all-trans-retinoic acid," Ann. Oncol. 2:234-235, Oxford University Press (1991).
	AT	<u>8</u>	Bourguet, W., et al., "Crystal structure of the ligand-binding domain of the human nuclear receptor RXR- α ," Nature 375:377-382, Macmillan Publishers Ltd. (1995).

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	AL9	EP 0 253 302 A2	01/20/1988	Europe			Yes X No
	AM9	EP 0 210 929 A1	02/04/1987	Europe			Yes X No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>2</u>	Brand, N., et al., "Identification of a second human retinoic acid receptor," <i>Nature</i> 332:850-853, Macmillan Publishers Ltd. (1988).	
AS	<u>2</u>	Brooks III, S.C., et al., "Myeloid Differentiation and Retinoblastoma Phosphorylation Changes in HL-60 Cells Induced by Retinoic Acid Receptor- and Retinoid X Receptor-Selective Retinoic Acid Analogs," <i>Blood</i> 87:227-237, W. B. Saunders Company (1996).	
AT	<u>2</u>	Buck, J., et al., "Differences in the Action and Metabolism between Retinol and Retinoic Acid in B Lymphocytes," <i>J. Cell. Biol.</i> 115:851-859, The Rockefeller University Press (1991).	

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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>10</u>	Buck, J., et al., "Intracellular Signaling by 14-Hydroxy-4,14-Retro-Retinol," <i>Science</i> 254:1654-1656, American Association for the Advancement of Science (1991).	
AS	<u>10</u>	Bugge, T.H., et al., "RXR α , a promiscuous partner of retinoic acid and thyroid hormone receptors," <i>EMBO J.</i> 11:1409-1418, Oxford University Press (1992).	
AT	<u>10</u>	Castaigne, S., et al., "All-Trans Retinoic Acid as a Differentiation Therapy for Acute Promyelocytic Leukemia. I. Clinical Results," <i>Blood</i> 76:1704-1709, W.B. Saunders Company (1990).	

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	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>11</u>	Chadwick, C.C., et al., "TNF- α and 9-cis-Retinoic Acid Synergistically Induce ICAM-1 Expression: Evidence for Interaction of Retinoid Receptors with NF- κ B," <i>Exp. Cell Res.</i> 239:423-429, Academic Press (1998).
AS	<u>11</u>	Chambon, P., "A decade of molecular biology of retinoic acid receptors," <i>FASEB J.</i> 10:940-954, Federation of American Societies for Experimental Biology (1996).
AT	<u>11</u>	Chambon, P., "The retinoid signaling pathway: molecular and genetic analyses," <i>Semin. Cell Biology</i> 5:115-125, Academic Press (1994).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>12</u>	Chandraratna, R.A.S., et al., "Development of RAR Subtype Selective Retinoids for Dermatological Diseases," <i>Eur. J. Med. Chem.</i> 30:505s-517s, Elsevier Science (1995).
	AS	<u>12</u>	Chandraratna, R., "Tazarotene," <i>Drugs of the Future</i> 22:249-255, Prous Science (1997).
	AT	<u>12</u>	Chang, K.S., et al., "Rearrangement of the Retinoic Acid Receptor Gene in Acute Promyelocytic Leukemia," <i>Leukemia</i> 5:200-204, Macmillan Press Ltd. (1991).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>13</u>	Chazaud, C., <i>et al.</i> , "Retinoic acid is required in the mouse embryo for left-right asymmetry determination and heart morphogenesis," <i>Development</i> 126:2589-2596, The Company of Biologists Ltd. (June 1999).
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	AR	<u>14</u>	Chen, S.J., <i>et al.</i> , "Rearrangements in the Second Intron of the RARA Gene Are Present in a Large Majority of Patients With Acute Promyelocytic Leukemia and Are Used as Molecular Marker for Retinoic Acid-Induced Leukemia Cell Differentiation," <i>Blood</i> 78:2696-2701, W. B. Saunders Company (1991).
	AS	<u>14</u>	Chen, Z., <i>et al.</i> , "The Retinoic Acid Alpha Receptor Gene is Frequently Disrupted in its 5' Part in Chinese Patients with Acute Promyelocytic Leukemia," <i>Leukemia</i> 5:288-292, Macmillan Press Ltd. (1991).
	AT	<u>14</u>	Chiesa, F., <i>et al.</i> , "Prevention of Local Relapses and New Localisations of Oral Leukoplakias with the Synthetic Retinoid Fenretinide (4-HPR). Preliminary Results," <i>Eur. J. Cancer Oral Oncol.</i> 28B:97-102, Pergamon Press Ltd (1992).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>15</u>		Chomienne, C., et al., "All-Trans Retinoic Acid in Acute Promyelocytic Leukemias. II. In Vitro Studies: Structure-Function Relationship," <i>Blood</i> 76:1710-1717, W.B. Saunders Company (1990).
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AT	<u>15</u>		Chomienne, C., et al., "Retinoid differentiation therapy in promyelocytic leukemia," <i>FASEB J.</i> 10:1025-1030, Federation of American Societies for Experimental Biology (1996).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>16</u>	Clifford, J., et al., "RXR α -null F9 embryonal carcinoma cells are resistant to the differentiation, anti-proliferative and apoptotic effects of retinoids," <i>EMBO J.</i> 15:4142-4155, Oxford University Press (1996).
	AS	<u>16</u>	Costa, A., et al., "Prospects of Chemoprevention of Human Cancers with the Synthetic Retinoid Fenretinide," <i>Can. Res.</i> 54:2032s-2037s, American Association for Cancer Research (1994).
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AR	<u>17</u>	de Thé, H., "Altered retinoic acid receptors," <i>FASEB J.</i> 10:955-960, Federation of American Societies for Experimental Biology (1996).	
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AT	<u>17</u>	Dey, A., et al., "Ligand-Dependent Occupancy of the Retinoic Acid Receptor β 2 Promoter In Vivo," <i>Mol. Cell. Biol.</i> 14:8191-8201, American Society for Microbiology, (1994).	

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>18</u>	Diaz, P., et al., "Synthesis and Biological Activities of New Heterocyclic Aromatic Retinoids," <i>Bioorg. Med. Chem. Lett.</i> 7:2289-2294, Elsevier Science Ltd. (1997).
	AS	<u>18</u>	Dollé, P., et al., "Developmental expression of murine retinoid X receptor (RXR) genes," <i>Mech. Develop.</i> 45:91-104, Elsevier Science Ltd. (1994).
	AT	<u>18</u>	Dollé, P., et al., "Differential expression of genes encoding α , β , and γ retinoic acid receptors and CRABP in the developing limbs of the mouse," <i>Nature</i> 342:702-705, Macmillan Publishers Ltd. (1989).

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	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>19</u>	Dollé, P., et al., "Retinoic acid receptors and cellular retinoid binding proteins," <i>Development</i> 110:1133-1151, The Company of Biologists Ltd. (1990).
	AS	<u>19</u>	Doucas, V., et al., "The PML-retinoic acid receptor α translocation converts the receptor from an inhibitor to a retinoic acid-dependent activator of transcription factor AP-1," <i>Proc. Natl. Acad. Sci. USA</i> 90:9345-9349, National Academy of Sciences (1993).
	AT	<u>19</u>	Dresser, D.W., "Adjuvantcity of Vitamin A," <i>Nature</i> 217:527-529, Macmillan Publishers Ltd. (1968).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>20</u>	Durand, B., et al., "Activation function 2(AF-2) of retinoic acid receptor and 9-cis retinoic acid receptor: presence of a conserved autonomous constitutive activating domain and influence of the nature of the response element on AF-2 activity," <i>EMBO J.</i> 13:5370-5382, Oxford University Press (1994).	
AS	<u>20</u>	Durand, B., et al., "All-Trans and 9-Cis Retinoic Acid Induction of CRABP II Transcription Is Mediated by RAR-RXR Heterodimers Bound to DR1 and DR2 Repeated Motifs," <i>Cell</i> 71:73-85, Cell Press (1992).	
AT	<u>20</u>	Dyck, J.A., et al., "A Novel Macromolecular Structure Is a Target of the Promyelocyte-Retinoic Acid Receptor Oncoprotein," <i>Cell</i> 76:333-343, Cell Press (1994).	

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>21</u>		Eskander, E.D., et al., "Phase I Study Combining Tumor Necrosis Factor with Interferon- α and Interleukin-2," <i>Am. J. Clin. Oncol.</i> 20:511-514, Lippincott-Raven Publishers (1997).
AS	<u>21</u>		Eyrolles, L., et al., "Retinoid Antagonists: Molecular Design Based on the Ligand Superfamily Concept," <i>Med. Chem. Res.</i> 2:361-367, Birkhäuser (1992).
AT	<u>21</u>		Fanjul, A., et al., "Antiproliferative effects of a new class of retinoids with selective anti-AP-1 activity in various cancer cell lines," <i>Proc. Am. Assoc. Cancer Res.</i> 36:509, Abstract No. 3030, American association for Cancer Research (1995).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>22</u>	Fanjul, A., <i>et al.</i> , "A new class of retinoids with selective inhibition of AP-1 inhibits proliferation," <i>Nature</i> 372:107-111, Macmillan Publishers Ltd (1994).
	AS	<u>22</u>	Farmer, L.J., <i>et al.</i> , "Synthesis and Structure-Activity Relationships of Potent Conformationally Restricted Retinoid X Receptor Ligands," <i>Bioorg. Med. Chem. Lett.</i> 7:2747-2752, Elsevier Science Ltd. (1997).
	AT	<u>22</u>	Farmer, L.J., <i>et al.</i> , "Synthesis and Structure-Activity Relationships of Potent Retinoid X Receptor Ligands," <i>Bioorg. Med. Chem. Lett.</i> 7:2393-2398, Elsevier Science Ltd. (1997).

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	AS	<u>23</u>	Fisher, G.J. and Voorhees, J.J., "Molecular mechanisms of retinoid actions in skin," FASEB 10:1002-1013, Federation of American Societies for Experimental Biology (1996).
	AT	<u>23</u>	Forman, B.M., et al., "15-Deoxy- $\Delta^{12,14}$ -Prostaglandin J ₂ Is a Ligand for the Adipocyte Determination Factor PPAR," Cell 83:803-812, Cell Press (1995).

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	AR	<u>24</u>	Forman, B.M., et al., "Unique Response Pathways Are Established by Allosteric Interactions among Nuclear Hormone Receptors," <i>Cell</i> 81:541-550, Cell Press (1995).
	AS	<u>24</u>	Fox, F.E., et al., "Retinoids Synergize with Interleukin-2 to Augment IFN- γ and Interleukin-12 Production by Human Peripheral Blood Mononuclear Cells," <i>J. Interferon and Cytokine Res.</i> 19:407-415, Mary Ann Liebert, Inc. (April 1999).
	AT	<u>24</u>	Garbe, A., et al., "Transforming Growth Factor Beta (TGF- β 1) Synergizes in the Differentiation of Dendritic Cells from Monocytes Under Serum-Free Culture Conditions But Inhibits Upregulation of Costimulatory Molecules and MHC Class II," <i>Blood</i> , pp. 165a, Abs. No. 668, American Society of Hematology, 40th meeting (1998).

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	AR	<u>25</u>	Garbe, A., et al., "Retinoids Are Important Cofactors in T Cell Activation," <i>J. Exp. Med.</i> 176:109-117, The Rockefeller University Press (1992).
	AS	<u>25</u>	Geissmann, F., et al., "TGF- β 1 Prevents the Noncognate Maturation of Human Dendritic Langerhans Cells," <i>J. Immunol.</i> 162:4567-4575, The American Association of Immunologists (April 1999).
	AT	<u>25</u>	Geissmann, F., et al., "Transforming Growth Factor β 1, in the Presence of Granulocyte/Macrophage Colony-stimulating Factor and Interleukin 4, Induces Differentiation of Human Peripheral Blood Monocytes into Dendritic Langerhans Cells," <i>J. Exp. Med.</i> 187:961-966, The Rockefeller University Press (1998).

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FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. 1383.0260001	APPLICATION NO. 09/832,922
	APPLICANT Geissmann et al.	
	FILING DATE April 12, 2001	GROUP 1644

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>26</u>	Giguère, V., "Retinoic Acid Receptors and Cellular Retinoid Binding Proteins: Complex Interplay in Retinoid Signaling," <i>Endocrin. Rev.</i> 15:61-79, The Endocrine Society (1994).
	AS	<u>26</u>	Giguère, V., et al., "Identification of a receptor for the morphogen retinoic acid," <i>Nature</i> 330:624-629, Macmillan Publishers Ltd. (1987).
	AT	<u>26</u>	Gottardis, M.M., et al., "The Efficacy of 9-cis retinoic acid in experimental models of cancer," <i>Breast Cancer Res. and Treatment</i> 38:85-96, Kluwer Academic Publishers (1996).

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	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>27</u>	Green, S. and Chambon, P., "Nuclear receptors enhance our understanding of transcription regulation," 4:309-314, Elsevier Science Publishers Ltd (1988).
	AS	<u>27</u>	Green, S., "Promiscuous liaisons," Nature 361:590-591, Macmillan Publishers Ltd. (1993).
	AT	<u>27</u>	Grignani, F., et al., "Acute Promyelocytic Leukemia: From Genetics to Treatment," Blood 83:10-25, W. B. Saunders Company (1994).

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	AM						Yes No
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	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>28</u>	Grignani, F., et al., "The Acute Promyelocytic Leukemia-Specific PML-RAR α Fusion Protein Inhibits Differentiation and Promotes Survival of Myeloid Precursor Cells," <i>Cell</i> 74:423-431, Cell Press (1993).
	AS	<u>28</u>	Gronemeyer, H. and Laudet, V., "Nuclear Receptors: Introduction," <i>Protein Profile</i> 2:1173-1180, Academic Press (1995).
	AT	<u>28</u>	Gronemeyer, H., "Transcription Activation by Estrogen and Progesterone Receptors," <i>Annu. Rev. Genet.</i> 25:89-123, Annual Reviews Inc. (1991).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>29</u>		Gudas, L.J., et al., "11. Cellular Biology and Biochemistry of the Retinoids," in: <i>The Retinoids</i> , Sporn, M.B., et al., eds., Raven Press, New York, New York, pp. 443-520 (1994).
AS	<u>29</u>		Guérin, E., et al., "Stromelysin-3 Induction and Interstitial Collagenase Repression by Retinoic Acid," <i>J. Biol. Chem.</i> 272:11088-11095, The American Society for biochemistry and Molecular Biology, Inc. (1997).
AT	<u>29</u>		Hachisuka, H., and Uno, H., "Effects of Retinoic Acid on the Epidermal Langerhans Cells and β -Glucuronidase Activity in Macaque Skin," <i>Am. J. Dermatopathology</i> 9:316-323, Raven Press (1987).

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	AR	<u>30</u>	Hall, R.K., et al., "Activation of the Phosphoenolpyruvate Carboxykinase Gene Retinoic Acid Response Element Is Dependent on a Retinoic Acid Receptor/Coregulator Complex," <i>Mol. Cell. Biol.</i> 12:5527-5535, American Society for Microbiology (1992).
	AS	<u>30</u>	Hallenbeck, M., et al., "Heterodimerization of thyroid hormone (TH) receptor with H-2RIIBP (RXR β) enhances DNA binding and TH-dependent transcriptional activation," <i>Proc. Natl. Acad. Sci. USA</i> 89:5572-5576, National Academy of Sciences (1992).
	AT	<u>30</u>	Harris, D.T., et al., "Immunologic Approaches to the Treatment of Prostate Cancer," <i>Sem. Oncol.</i> 26:439-447, W.B. Saunders Company (August 1999).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>31</u>		Hembree, J.R., et al., "Retinoid X Receptor-specific Retinoids Inhibit the Ability of Retinoic Acid Receptor-specific Retinoids to Increase the Level of Insulin-like Growth Factor Binding Protein-3 in Human Ectocervical Epithelial Cells," <i>Can. Res.</i> 56:1794-1799, American Association for Cancer Research (1996).
AS	<u>31</u>		Hembry, R.M., et al., "Rabbit Models of Arthritis: Immunolocalization of Matrix Metalloproteinases and Tissue Inhibitor of Metalloproteinase in Synovium and Cartilage," <i>Am. J. Pathol.</i> 143:628-642, American Society for Investigative Pathology (1993).
AT	<u>31</u>		Hong, W.K., et al., "Prevention of Second Primary Tumors with Isotretinoin in Squamous-Cell Carcinoma of the Head and Neck," <i>N. Engl. J. Med.</i> 323:795-801, Massachusetts Medical Society (1990).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>32</u>	Hong, W.K., et al., "13-cis-Retinoic Acid in the Treatment of Oral Leukoplakia," <i>N. Engl. J. Med.</i> 315:1501-1505, Massachusetts Medical Society (1986).	
AS	<u>32</u>	Horn, V., et al., "RAR and RXR selective ligands cooperatively induce apoptosis and neuronal differentiation in P19 embryonal carcinoma cells," <i>FASEB J.</i> 10:1071-1077, Federation of American Societies for Experimental Biology (1996).	
AT	<u>32</u>	Husmann, M., et al., "A retinoic Acid Response Element From the Rat CRBPI Promoter Is Activated By an RAR/RXR Heterodimer," <i>Biochem. Biophys. Res. Commun.</i> 187:1558-1564, Academic Press, Inc (1992).	

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	AO						Yes No
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>33</u>	International Search Report for International Patent Application No. PCT/IB 01/00484, mailed March 11, 2002.
	AS	<u>33</u>	Jing, Y., et al., "Defective expression of cellular retinol binding protein type I and retinoic acid receptors $\alpha 2$, $\beta 2$, and $\gamma 2$ in human breast cancer cells," <i>FASEB J.</i> 10:1064-1070, Federation of American Societies for Experimental Biology (1996).
	AT	<u>33</u>	Johnson, A.T., et al., "Identification of Retinoic Acid Receptor β Subtype Specific Agonists," <i>J. Med. Chem.</i> 39:5027-5030, American Chemical Society (1996).

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	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>34</u>	Kastner, P., et al., "Genetic Analysis of RXR α Developmental Function: Convergence of RXR and RAR Signaling Pathways in Heart and Eye Morphogenesis," <i>Cell</i> 78:987-1003, Cell Press (1994).
	AS	<u>34</u>	Kastner, P., et al., "Nonsteroid Nuclear Receptors: What Are Genetic Studies Telling Us about Their Role in Real Life?," <i>Cell</i> 83:859-869, Cell Press (1995).
	AT	<u>34</u>	Kastner, P., et al., "Structure, localization and transcriptional properties of two classes of retinoic acid receptor α fusion proteins in acute promyelocytic leukemia (APL): structural similarities with a new family of oncoproteins," <i>EMBO J.</i> 11:629-642, Oxford University Press (1992).

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ATTY. DOCKET NO.
1383.0260001APPLICATION NO.
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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>35</u>	Katz, D.R., et al., "Regulation of accessory cell function by retinoids in murine immune responses," <i>Br. J. Exp. Path.</i> 68:343-350, Blackwell Scientific Publications Ltd. (1987).
	AS	<u>35</u>	Kawano, T., et al., "CD1d-Restricted and TCR-Mediated Activation of V _α 14 NKT Cells by Glycosylceramides," <i>Science</i> 278:1626-1629, American Association for the Advancement of Science (1997).
	AT	<u>35</u>	Kersten, S., et al., "Individual Subunits of Heterodimers Comprised of Retinoic Acid and Retinoid X Receptors Interact with Their Ligands Independently," <i>Biochem.</i> 35:3816-3824, American Chemical Society (1996).

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	AP						Yes No

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	AR	<u>36</u>	Kessel, M., "Respecification of vertebral identities by retinoic acid," <i>Development</i> 115:487-501, The Company of Biologists Ltd. (1992).
	AS	<u>36</u>	Kishimoto, T., et al., "Interleukin-6 and Its Receptor: A Paradigm for Cytokines," <i>Science</i> 258:593-597, American Association for the Advancement of Science (1992).
	AT	<u>36</u>	Kleywegt, G.J., et al., "Crystal structures of cellular retinoic acid binding proteins I and II in complex with all-trans-retinoic acid and a synthetic retinoid," <i>Structure</i> 2:1241-1258, Current Biology Ltd. (1994).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>37</u>	Kliwer, S.A., et al., "Retinoid X receptor interacts with nuclear receptors in retinoic acid, thyroid hormone and vitamin D ₃ signalling," <i>Nature</i> 355:446-449, Macmillan Publishers Ltd. (1992).
	AS	<u>37</u>	Koken, M.H.M., et al., "The t(15;17) translocation alters a nuclear body in a retinoic acid-reversible fashion," <i>EMBO J.</i> 13:1073-1083, Oxford University Press (1994).
	AT	<u>37</u>	Kraemer, K.H., et al., "Prevention of Skin Cancer in Xeroderma Pigmentosum with the Use of Oral Isotretinoin," <i>N. Engl. J. Med.</i> 318:1633-1637, Massachusetts Medical Society (1988).

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AR	<u>38</u>	Krezel, W., et al., "RXR γ null mice are apparently normal and compound RXR α /RXR β /RXR γ mutant mice are viable," <i>Proc. Natl. Acad. Sci. USA</i> 93:9010-9014, National Academy of Sciences (1996).
AS	<u>38</u>	Krust, A., et al., "The chicken oestrogen receptor sequence: homology with v-erbA and the human oestrogen and glucocorticoid receptors," <i>EMBO J.</i> 5:891-897, IRL Press Ltd. (1986).
AT	<u>38</u>	Krust, A., et al., "A third human retinoic acid receptor, hRAR- γ ," <i>Proc. Natl. Acad. Sci. USA</i> 86:5310-5314, National Academy of Sciences (1989).

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AS	39		Kuwabara, K., et al., "Novel synthetic retinoic acid inhibits rat collagen arthritis and differentially affects serum immunoglobulin subclass levels," <i>FEBS Lett.</i> 378:153-156, Federation of European Biochemical Societies (1996).
AT	39		Lafyatis, R., et al., "Interleukin-1 Stimulates and All-Trans-Retinoic Acid Inhibits Collagenase Gene Expression through Its 5' Activator Protein-1-Binding Site," <i>Mol. Endocrin.</i> 4:973-980, Williams & Wilkins (1990).

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	AR	<u>40</u>	Lanotte, M., et al., "NB4, a Maturation Inducible Cell Line With t(15;17) Marker Isolated From a Human Acute Promyelocytic Leukemia (M3)," <i>Blood</i> 77:1080-1086, W.B. Saunders Company (1991).
	AS	<u>40</u>	Laudet, V. and Stehelin, D., "Flexible friends," <i>Curr. Biol.</i> 2:293-295, Cell Press (1992).
	AT	<u>40</u>	Lavau, C. and Dejean, A., "The t(15;17) Translocation in Acute Promyelocytic Leukemia," <i>Leukemia</i> 8:1615-1621, Macmillan Press Ltd. (1994).

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	APPLICANT Geissmann et al.	
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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>41</u>	Le Douarin, B., et al., "The N-terminal part of TIF1, a putative mediator of the ligand-dependent activation function (AF-2) of nuclear receptors, is fused to B-raf in the oncogenic protein T18," <i>EMBO J.</i> 14:2020-2033, Oxford University Press (1995).	
AS	<u>41</u>	Lehmann, J.M., et al., "Retinoids Selective for Retinoid X Receptor Response Pathways," <i>Science</i> 258:1944-1946, Macmillan Publishers Ltd. (1992).	
AT	<u>41</u>	Leid, M., et al., "Multiplicity generates diversity in the retinoic acid signalling pathways," <i>TIBS</i> 17:427-433, Elsevier Science Publishers (1992).	

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>42</u>	Leid, M., et al., "Purification, Cloning, and RXR Identity of the HeLa Cell Factor with Which RAR or TR Heterodimerizes to Bind Target Sequences Efficiently," <i>Cell</i> 68:377-395, Cell Press (1992).
	AS	<u>42</u>	Leid, M., "Ligand-induced Alteration of the Protease Sensitivity of Retinoid X Receptor α ," <i>J. Biol. Chem.</i> 269:14175-14181, The American Society for Biochemistry and Molecular Biology, Inc. (1994).
	AT	<u>42</u>	Leng, X., et al., "Mouse Retinoid X Receptor Contains Separable Ligand-Binding and Transactivation Domain in Its E Region," <i>Mol. Cell. Biol.</i> 15:255-263, American Society for Microbiology (1995).

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AR	<u>43</u>	Linney, E., "Retinoic Acid Receptors: Transcription Factors Modulating Gene Regulation, Development, and Differentiation," <i>Curent Topics in Developmental Biol.</i> 27:309-350, Academic Press, Inc. (1992).	
AS	<u>43</u>	Lippman, S.M., et al., "13-cis-Retinoic Acid and Interferon α -2a: Effective Combination Therapy for Advanced Squamous Cell Carcinoma of the Skin," <i>J. Natl. Cancer Inst.</i> 84:235-241, Oxford University Press (1992).	
AT	<u>43</u>	Lippman, S.M., et al., "13-cis-Retinoic Acid Plus Interferon α -2a: Highly Active Systemic Therapy for Squamous Cell Carcinoma of the Cervix," <i>J. Natl. Cancer Inst.</i> 84:241-245, Oxford University Press (1992).	

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>44</u>	Liu, Q. and Linney, E., "The Mouse Retinoid-X Receptor- γ Gene: Genomic Organization and Evidence for Functional Isoforms," <i>Mol. Endocrinol.</i> 7:651-658, The Endocrine Society (1993).
	AS	<u>44</u>	Lo Coco, F., et al., "Molecular Evaluation of Response to All-Trans-Retinoic Acid Therapy in Patients With Acute Promyelocytic Leukemia," <i>Blood</i> 77:1657-1659, W. B. Saunders Company (1991).
	AT	<u>44</u>	Lohnes, D., et al., "Function of the retinoic acid receptors (RARs) during development," <i>Development</i> 120:2723-2748, The Company of Biologists Ltd. (1994).

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	AR	<u>45</u>	Lotan, R., et al., Enhanced Efficacy of Combinations of Retinoic Acid- and Retinoid X Receptor-selective Retinoids and α -Interferon in Inhibition of Cervical Carcinoma Cell Proliferation," <i>Can. Res.</i> 55:232-236, American Association for Cancer Research (1995).
	AS	<u>45</u>	Lotan, R., "Retinoids in cancer chemoprevention," <i>FASEB J.</i> 10:1031-1039, Federation of American Societies for Experimental Biology (1996).
	AT	<u>45</u>	Malkovsky, M., et al., "T-cell-mediated enhancement of host-versus-graft reactivity in mice fed a diet enriched in vitamin A acetate," <i>Nature</i> 302:338-340, Macmillan Journals Ltd. (1983).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>46</u>	Mangelsdorf, D.J. and Evans, R.M., "The RXR Heterodimers and Orphan Receptors," Cell 83:841-850, Cell Press (1995).
	AS	<u>46</u>	Mangelsdorf, D.J., et al., "Characterization of three RXR genes that mediate the action of 9-cis retinoic acid," Genes & Develop. 6:329-344, Cold Spring Harbor Laboratory Press (1992).
	AT	<u>46</u>	Mangelsdorf, D.J., et al., "The Nuclear Receptor Superfamily: The Second Decade," Cell 83:835-839, Cell Press (1995).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>47</u>	Mangelsdorf, D.J., et al., "Nuclear receptor that identifies a novel retinoic acid response pathway," <i>Nature</i> 345:224-229, Macmillan Publishers Ltd. (1990).
	AS	<u>47</u>	Mangelsdorf, D.J., et al., "The Retinoid Receptors," in: <i>The Retinoids: Biology, Chemistry, and Medicine</i> , 2nd Ed., Sporn, M.B., et al., eds., Raven Press, Ltd., New York, NY, pp. 319-349 (1994).
	AT	<u>47</u>	Marks, M.S., et al., "H-2RIIBP (RXR β) heterodimerization provides a mechanism for combinatorial diversity in the regulation of retinoic acid and thyroid hormone responsive genes," <i>EMBO J.</i> 11:1419-1435, Oxford University Press (1992).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>48</u>	Mendelsohn, C., et al., "Function of the retinoic acid receptors (RARs) during development," <i>Development</i> 120:2749-2771, The Company of Biologists Ltd. (1994).
	AS	<u>48</u>	Meng-er, H., et al., "Use of All-Trans Retinoic Acid in the Treatment of Acute Promyelocytic Leukemia," <i>Blood</i> 72:567-572, Grune & Stratton (1988).
	AT	<u>48</u>	Meunier, L., et al., "Retinoic Acid Upregulates Human Langerhans Cell Antigen Presentation and Surface Expression of HLA-DR and CD11c, a β 2 Integrin Critically Involved in T-Cell Activation," <i>J. Invest. Dermatol.</i> 103:775-779, The Society for Investigative Dermatology, Inc. (1994).

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	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>49</u>	Meyer, M.E., et al., "Agonistic and antagonistic activities of RU486 on the functions of the human progesterone receptor," <i>EMBO J.</i> 9:3923-3932, Oxford University Press (1990).	
AS	<u>49</u>	Meyer, M.E., et al., "Steroid Hormone Receptors Compete for Factors That Mediate Their Enhancer Function," <i>Cell</i> 57:433-442, Cell Press (1989).	
AT	<u>49</u>	Mohanty-Hejmadi, P., et al., "Limbs generated at site of tail amputation in marbled balloon frog after vitamin A treatment," <i>Nature</i> 355:352-353, Macmillan Publishers Ltd. (1992).	

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	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>50</u>	Morriss-Kay, G.M. and Sokolova, N., "Embryonic development and pattern formation," <i>FASEB J.</i> 10:961-968, Federation of American Societies for Experimental Biology (1996).	
AS	<u>50</u>	Mu, Z.M., et al., "PML, a Growth Suppressor Disrupted In Acute Promyelocytic Leukemia," <i>Mol. Cell. Biol.</i> 14:6858-6867, American Society for Microbiology (1994).	
AT	<u>50</u>	Murphy, G., "Matrix metalloproteinases and their inhibitors," <i>Acta Orthop. Scand.</i> 66:55-60, Scandinavian University Press (1995).	

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	AM						Yes No
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	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>51</u>	Nagata, T., et al., "The mouse Rxrb gene encoding RXR β : genomic organization and two mRNA isoforms generated by alternative splicing of transcripts initiated from CpG island promoters," <i>Gene</i> 142:183-189, Elsevier Science (1994).
	AS	<u>51</u>	Nagpal, S. et al., "Promoter Context- and Response Element-Dependent Specificity of the Transcriptional Activation and Modulating Functions of Retinoic Acid Receptors," <i>Cell</i> 70:1007-1019, Cell Press (1992).
	AT	<u>51</u>	Nagpal, S. et al., "RARs and RXRs: evidence for two autonomous transactivation functions (AF-1 and AF-2) and heterodimerization in vivo," <i>EMBO J.</i> 12:2349-2360, Oxford Univeristy Press (1993).

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	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>52</u>	Nagpal, S., et al., "Separation of Transactivation and AP1 Antagonism Functions of Retinoic Acid Receptor α ," <i>J. Bio. Chem.</i> 270:923-927, The American Society for Biochemistry and Molecular Biology, Inc. (1995).
	AS	<u>52</u>	Nagy, L., et al., "Activation of Retinoid X Receptors Induces Apoptosis in HL-60 Cell Lines," <i>Mol. Cell. Biol.</i> 15:3540-3551, American Society for Microbiology (1995).
	AT	<u>52</u>	Nestle, F.O., et al., "Vaccination of melanoma patients with peptide- or tumor lysate-pulsed dendritic cells," <i>Nature Med.</i> 4:328-332, Macmillan Publishers Ltd. (1998).

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	AP						Yes No

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	AR	<u>53</u>	Nicholson, R.C., et al., "Negative regulation of the rat stromelysin gene promoter by retinoic acid is mediated by an AP1 binding site," <i>EMBO J.</i> 9:4443-4454, IRL Press (1990).
	AS	<u>53</u>	Novaković, S., et al., "New TNF- α Analogues: A Powerful But Less Toxic Biological Tool Against Tumours," <i>Cytokine</i> 9:597-604, Academic Press Ltd. (1997).
	AT	<u>53</u>	Ostrowski, J., et al., "The N-terminal portion of domain E of retinoic acid receptors α and β is essential for the recognition of retinoic acid and various analogs," <i>Proc. Natl. Acad. Sci. USA</i> 92:1812-1816, National Academy of Sciences (1995).

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	AR	<u>54</u>	Paglia, P., et al., "Murine Dendritic Cells Loaded In Vitro with Soluble Protein Prime Cytotoxic T Lymphocytes against Tumor Antigen In Vivo," <i>J. Exp. Med.</i> 183:317-322, The Rockefeller University Press (1996).
	AS	<u>54</u>	Paglia, P., et al., "Immortalized Dendritic Cell Line Fully Competent in Antigen Presentation Initiates Primary T Cell Responses In Vivo," <i>J. Exp. Med.</i> 178:1893-1901, The Rockefeller University Press (1993).
	AT	<u>54</u>	Petkovich, et al., "A human retinoic acid receptor which belongs to the family of nuclear receptors," <i>Nature</i> 330:444-450, Macmillan Publishers Ltd. (1987).

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AR	<u>55</u>	Perez, A., et al., "PMLRAR homodimers: distinct DNA binding properties and heteromeric interactions with RXR," <i>EMBO J.</i> 12:3171-3182, Oxford University Press (1993).	
AS	<u>55</u>	Pfahl, M., "Nuclear Receptor/Ap-1 Interaction," <i>Endocrine Reviews</i> 14:651-658, The Endocrine Society (1993).	
AT	<u>55</u>	Rahmathullah, L., et al., "Reduced Mortality Among Children in Southern India Receiving a Small Weekly Dose of Vitamin A," <i>N. Eng. J. Med.</i> 323:929-935, Massachusetts Medical Society (1990).	

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	AM						Yes No
	AN						Yes No
	AO						Yes No
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>56</u>	Renaud, J.P., et al., "Crystal structure of the RAR- γ ligand-binding domain bound to all-trans retinoic acid," <i>Nature</i> 378:681-689, Macmillan Publishers Ltd. (1995).
	AS	<u>56</u>	Rescigno, M., et al., "Dendritic Cell Survival and Maturation Are Regulated by Different Signaling Pathways," <i>J. Exp. Med.</i> 188:2175-2180, The Rockefeller University Press (1998).
	AT	<u>56</u>	Roake, J.A., et al., "Dendritic Cell Loss from Nonlymphoid Tissues after Systemic Administration of Lipopolysaccharide, Tumor Necrosis Factor, and Interleukin 1," <i>J. Exp. Med.</i> 181:2237-2247, The Rockefeller University Press (1995).

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	AR	<u>57</u>	Ross, A.C., and Stephensen, C.B., "Vitamin A retinoids in antiviral responses," <i>FASEB J.</i> 10:979-985, Federation of American Societies for Experimental Biology (1996).
	AS	<u>57</u>	Rouyer, N., et al., "Stromelysin-3 Gene Expression in Human Cancer: An Overview," <i>Inv. Metas.</i> 14:269-275, S. Karger Medical and Scientific Publishers (1994)
	AT	<u>57</u>	Rowe, A., et al., "A member of the RXR nuclear receptor family is expressed in neural-crest-derived cells of the developing chick peripheral nervous system," <i>Development</i> 111:771-778, The Company of Biologists Ltd. (1991).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>58</u>	Roy, B., et al., "Synergistic Activation of Retinoic Acid (RA)-Responsive Genes and Induction of Embryonal Carcinoma Cell Differentiation by an RA Receptor α (RAR α)-, RAR β -, or RAR γ -Selective Ligand in Combination with a Retinoid X Receptor-Specific Ligand," <i>Mol. Cell. Biol.</i> 15:6481-6487, American Society for Microbiology (1995).
	AS	<u>58</u>	Ruberte, E., et al., "Specific spatial and temporal distribution of retinoic acid receptor gamma transcripts during mouse embryogenesis," <i>Development</i> 108, 213-222, The Company of Biologists Ltd. (1990).
	AT	<u>58</u>	Ruberte, E., et al., "Retinoic acid receptors and cellular retinoid binding proteins," <i>Development</i> 111:45-60, The Company of Biologists Ltd. (1991).

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	AR	59	Sallusto, F., et al., "Dendritic Cells Use Macropinocytosis and the Mannose Receptor to Concentrate Macromolecules in the Major Histocompatibility Complex Class II Compartment: Downregulation by Cytokines and Bacterial Products," <i>J. Exp. Med.</i> 182:389-400, The Rockefeller University Press (1995).
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	AT	59	Sato, H., et al., "A matrix metalloproteinase expressed on the surface of invasive tumour cells," <i>Nature</i> 370:61-65, Macmillan Publishers Ltd. (1994).

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	AR	<u>60</u>	Schadendorf, D., et al., "Retinoic acid receptor- γ -selective retinoids exert antiproliferative effects on human melanoma cell growth <i>in vivo</i> ," <i>Intl. J. Oncol.</i> 5:1325-1331, Lychnia (1994).
	AS	<u>60</u>	Seipal, K., et al., "Different activation domains stimulate trascription from remote ('enhancer') and proximal ('promoter') positions," <i>EMBO J.</i> 11:4961-4968, Oxford University Press (1992).
	AT	<u>60</u>	Semba, R.D., "Vitamin A, Immunity, and Infection," <i>Clin. Infect. Dis.</i> 19:489-499, The University of Chicago (1994).

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	AR	<u>61</u>	Semba, R.D., et al., "Reduced seroconversion to measles in infants given vitamin A with measles vaccination," <i>Lancet</i> 345:1330-1332, The Lancet Ltd. (1995).
	AS	<u>61</u>	Shenefelt, R.E., "Morphogenesis of Malformations in Hamsters Caused by Retinoic Acid: Relation to Dose and Stage at Treatment," <i>Teratology</i> 5:103-118, The Teratology Society and the Wistar Institute of Anatomy and Biology (1972).
	AT	<u>61</u>	Shroot, B., and Michel, S., "Pharmacology and chemistry of adapalene," <i>Amer. Acad. Dermatol.</i> 36:S96-S103, Mosby (1997).

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	AR	<u>62</u>	Sommer, A., "Vitamin A deficiency and childhood mortality," <i>Lancet</i> 339:864, The Lancet Ltd. (1992).
	AS	<u>62</u>	Steinman, R.M., "Dendritic cells and immune-based therapies," <i>Exp. Hematol.</i> 24:859-862, International Society for Experimental Hematology (1996).
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	AR	<u>63</u>	Sucov, H.M., et al., "RXR α mutant mice establish a genetic basis for vitamin A signaling in heart morphogenesis," <i>Genes & Development</i> 8:1007-1018, Cold Spring Harbor Laboratory Press (1994).
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	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>64</u>	Tabin, C.J., "Retinoids, Homeoboxes, and Growth Factors: Toward Molecular Models for Limb Development," Cell 66:199-217, Cell Press (1991).
	AS	<u>64</u>	Takahashi, K., et al., "Heterogeneity of Dendritic Cells in Human Superficial Lymph Node," Am. J. Pathol. 153:745-755, American Society for Investigative Pathology (1998).
	AT	<u>64</u>	Takeshita, A., et al., "Successful Treatment of Relapse of Acute Promyelocytic Leukemia with a New Synthetic Retinoid, Am80," Ann. Internal Med. 124:893-896, American College of Physicians (1996).

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	AP						Yes No

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	AR	<u>65</u>	Takeuchi, M., et al., "Re-induction of complete remission with a new synthetic retinoid, Am-80, for relapse of acute promyelocytic leukemia previously treated with all-trans retinoic acid," <i>Brit. J. Haematol.</i> 97:137-140, Blackwell Science Ltd. (1997).
	AS	<u>65</u>	Taneja, R., et al., "Cell-type and promoter-context dependent retinoic acid receptor (RAR) redundancies for <i>RARβ2</i> and <i>Hoxa-1</i> activation in F9 and P19 cells can be artefactually generated by gene knockouts," <i>Proc. Natl. Acad. Sci. USA</i> 93:6197-6202, National Academy of Sciences (1996).
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	AR	<u>66</u>	Thompson, J.N., et al., "Vitamin A and reproduction in rats," <i>Proc. Royal Soc.</i> 159:510-535, Royal Society (1964).
	AS	<u>66</u>	Underwood, B.A. and Arthur, P., "The contribution of vitamin A to public health," <i>FASEB J.</i> 10:1040-1048, The Federation of American Societies for Experimental Biology (1996).
	AT	<u>66</u>	Van Pelt, A.M.M. and De Rooij, D.G. "Retinoic Acid Is Able to Reinitiate Spermatogenesis in Vitamin A-Deficient Rats and High Replicate Doses Support the Full Development of Spermatogenic Cells," <i>Endocrinology</i> 128:697-704, The Endocrine Society (1991).

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	AR	<u>67</u>	Verma, A.K., "Inhibition of Both Stage I and Stage II Mouse Skin Tumor Promotion by Retinoic Acid and the Dependence of Inhibition of Tumor Promotion on the Duration of Retinoic Acid Treatment," <i>Cancer Res.</i> 47:5097-5101, American Association for Cancer Research (1987).
	AS	<u>67</u>	Vivat, V., et al., "A mutation mimicking ligand-induced conformational change yields a constitutive RXR that senses allosteric effects in heterodimers," <i>EMBO J.</i> 16:5697-5709, Oxford University Press (1997).
	AT	<u>67</u>	Wagner, R.L., et al., "A structural role for hormone in the thyroid hormone receptor," <i>Nature</i> 378:690-697, Macmillan Publishers Ltd. (1995).

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AR	<u>68</u>	Wald, G., "Molecular Basis of Visual Excitation," <i>Science</i> 162:230-239, American Association for the Advancement of Science (1968)
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AT	<u>68</u>	Wang, Z.G., et al., "Role of PML in Cell Growth and the Retinoic Acid Pathway," <i>Science</i> 279:1547-1551, American Association for the Advancement of Science (1998).

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	AT	<u>69</u>	Webster, N.J.G., et al., "The Hormone-Binding Domains of the Estrogen and Glucocorticoid Receptors Contain an Inducible Transcription Activation Function," <i>Cell</i> 54:199-207, Cell Press (1988).

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	70	Weis, K., et al., "Retinoic Acid Regulates Aberrant Nuclear Localization of PML-RAR α in Acute Promyelocytic Leukemia Cells," Cell 76:345-356, Cell Press (1994).
	AS	70	Williams, N.A. and Hill, T.J., "Effects on Murine Epidermal Langerhans Cells of Drugs Known to Cause Recrudescence Herpes Simplex Virus Infection in a Mouse Model," J. Invest. Dermatol. 97:933-937, The Society for Investigative Dermatology, Inc. (1991).
	AT	70	Wilson, J.G., et al., "An Analysis of the Syndrome of Malformations Induced by Maternal Vitamin A Deficiency. Effects of Restoration of Vitamin A at Various Times During Gestation," Am. J. Anat. 92:189-217, The Wistar Institute of Anatomy and Biology (1953).

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FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. 1383.0260001	APPLICATION NO. 09/832,922
	APPLICANT Geissmann et al.	
	FILING DATE April 12, 2001	GROUP 1644

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	AR	<u>71</u>	Wolf, C., et al., "Stromelysin 3 belongs to a subgroup of proteinases expressed in breast carcinoma fibroblastic cells and possibly implicated in tumor progression," <i>Proc. Natl. Acad. Sci. USA</i> 90:1843-1847, National Academy of Sciences (1993).
	AS	<u>71</u>	Wurtz, J.M., et al., "A canonical structure for the ligand-binding domain of nuclear receptors," <i>Nature Struct. Biol.</i> 3:87-94, Nature Publishing Company (1992).
	AT	<u>71</u>	Yang-Yen, H.F., et al., "Antagonism Between Retinoic Acid Receptors and AP-1: Implications for Tumor Promotion and Inflammation," <i>The New Biologist</i> 3:1206-1219, W.B. Saunders Company (1991).

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AR	<u>72</u>	Yu, V.C., et al., "Transcriptional regulation by the nuclear receptor superfamily," <i>Curr. Opin. Biotechnol.</i> 3:597-602, Current Biology Ltd. (1992).
AS	<u>72</u>	Yu, V.C., et al., "RXR β : A Coregulator That Enhances Binding of Retinoic Acid, Thyroid Hormone, and Vitamin D Receptors to Their Cognate Response Elements," <i>Cell</i> 67:1251-1266, Cell Press (1991).
AT	<u>72</u>	Zelent, A., et al., "Cloning of murine α and β retinoic acid receptors and a novel receptor γ predominantly expressed in skin," <i>Nature</i> 339:714-717, Macmillan Publishers Ltd. (1989).

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	AR	<u>73</u>	Zhang, X.K., et al., "Retinoid X receptor is an auxiliary protein for thyroid hormone and retinoic acid receptors," <i>Nature</i> 355:441-446, Macmillan Publishers Ltd. (1992).
	AS	<u>73</u>	Zhang, X.K., et al., "Homodimer formation of retinoid X receptor induced by 9- <i>cis</i> retinoic acid," <i>Nature</i> 358:587-591, (1992).
	AT	<u>73</u>	Dialog File 351, Accession No. 12336837, Derwent WPI English language abstract for WO 99/05292.

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	AR	<u>74</u>	Dialog File 351, Accession No. 11970921, Derwent WPI English language abstract for WO 98/29183.
	AS	<u>74</u>	Dialog File 351, Accession No. 10838464, Derwent WPI English language abstract for EP 0 722 928 B1.
	AT	<u>74</u>	Dialog File 351, Accession No. 11407362, Derwent WPI English language abstract for WO 97/26237.

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AR	<u>75</u>	Dialog File 351, Accession No. 7381745, Derwent WPI English language abstract for EP 0 253 302 A2.	
AS	<u>75</u>	Dialog File 351, Accession No. 7031122, Derwent EPI English language abstract for EP 0 210 929 A1.	
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